

This Page Is Inserted by IFW Operations  
and is not a part of the Official Record

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning documents *will not* correct images,  
please do not report the images to the  
Image Problem Mailbox.**

# DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

## HIGH-MOLECULAR FLOCCULANT, METHOD FOR PRODUCING THE FLOCCULANT AND WATER-TREATMENT METHOD EMPLOYING THE FLOCCULANT

Case No. P98,0440, the specification of which

(check one) X is attached hereto.  
was filed on April 14, 1998 as  
Application Serial No. 09/059,251  
and was amended on \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent Office all information which is known to me to be material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, 1.56(a).<sup>1</sup>

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and I believe that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months prior to this application, and that no application for patent or inventor's certificate on this invention has been filed in any country foreign to the United States of America prior to this application by me or my legal representatives or assigns, except as identified below:

I hereby claim foreign priority benefits under Title 35, United States Code, 119 of any foreign application(s) for patent or inventor's certificate listed below

Prior Foreign Application(s) Number	Country	Date
P09-098584	Japan	April 16, 1997
P09-104069	Japan	April 22, 1997

and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the above listed application on which priority is claimed:

Prior Foreign Application(s) Number	Country	Date
----------------------------------------	---------	------

<sup>1</sup> (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

If no priority is claimed, I have identified all foreign patent applications filed prior to this application:

Prior Foreign Application

Number

Country

Date

P10-087374

JAPAN

March 31, 1998

And I hereby appoint Messrs. John D. Simpson (Registration No. 19,842), Lewis T. Steadman (17,074), Dennis A. Gross (24,410), Robert M. Barrett, (30,142), Steven H. Noll (28,982), Kevin W. Gwynn (29,927), Robert M. Ward (26,517), Brett A. Valiquet (27,841), Edward A. Lehman (22,312), David R. Metzger (32,919), James D. Hobart (24,149), Melvin A. Robinson (31,870), John R. Garrett (27,888), Paula J. Kelly (37,624), John W. Cornell (30,619), Robert J. Depke (37,607), Joseph P. Reagan (35,332), Michael R. Hull (35,902), Michael S. Leonard (37,557) and Marvin Moody (16,549), all members of the firm of Hill & Simpson, A Professional Corporation

Telephone: 312/876-0200 Ext. 3388

my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and direct that all correspondence be forwarded to:

Hill & Simpson  
A Professional Corporation  
85th Floor Sears Tower, Chicago, Illinois 60606

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor YASUHITO INAGAKI

Inventor's signature Yasuhito Inagaki Date July 3, 1998  
Residence Kanagawa, Japan  
Citizenship Japan  
Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 141, Japan

Full name of second joint inventor,  
(if any) HARUO WATANABE

Inventor's signature Haruo Watanabe Date July 3, 1998  
Residence Kanagawa, Japan  
Citizenship Japan  
Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 141, Japan

Full name of third joint inventor,  
(if any) TSUTOMU NOGUCHI

Inventor's signature Tsutomu Noguchi Date July 3, 1998  
Residence Kanagawa, Japan  
Citizenship Japan  
Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome,  
Shinagawa-ku, Tokyo 141, Japan



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

SEPTEMBER 29, 1998

PTAS

HILL & SIMPSON, P.C.  
JOHN SIMPSON  
85TH FLOOR SEARS TOWER  
233 S. WACKER DRIVE  
CHICAGO, IL 60606



\*100770188A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION  
OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER  
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA  
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD  
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY  
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.  
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,  
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/16/1998

REEL/FRAME: 9317/0522

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNEE'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNEE:  
INAGAKI, YASUHITO

DOC DATE: 07/03/1998

ASSIGNEE:  
WATANABE, HARUO

DOC DATE: 07/03/1998

ASSIGNEE:  
NOGUCHI, TSUTOMU

DOC DATE: 07/03/1998

ASSIGNEE:  
SONY CORPORATION  
7-35, KITASHINAGAWA 6-CHOME,  
SHINAGAWA-KU  
TOKYO, JAPAN

SERIAL NUMBER: 09059251  
PATENT NUMBER:

FILING DATE: 04/14/1998  
ISSUE DATE:

SHARMALLA SIMPSON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

07-22-1998

FORM PTO-1595

1/31/92

COVER SHEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Cor:

100770188

Record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

YASUHITO INAGAKI  
HARUO WATANABE  
TSUTOMU NOGUCHI

## Additional name(s) of conveying party(ies) attached?

 Yes     No

## 3. Nature of conveyance:

<input checked="" type="checkbox"/> Assignment	<input type="checkbox"/> Merger
<input type="checkbox"/> Security Agreement	<input type="checkbox"/> Change of Name
<input type="checkbox"/> Other _____	

Execution Date July 03, 1998

## 2. Name and address of receiving party(ies):

Name: Sony Corporation

Internal Address: \_\_\_\_\_

Street Address: 7-35, Kitashinagawa 6- ChomeShinagawa-KuCity: Tokyo, Japan State: \_\_\_\_\_ Zip: \_\_\_\_\_Additional Name(s) & Address(es) attached  Yes  No

## 4. Application (number(s) or patent number(s)):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B: Patent No.(s)

USSN 09/ 059,251 filed April 14, 1998

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Hill &amp; Simpson, P.C.

85th Floor Sears Tower  
233 S. Wacker Drive  
Chicago, IL 60606

## 6. Total number of applications and patents involved

17. Total Fee (37 CFR 3.41 . . . . . \$ 40.00 Enclosed Authorized to be charged to deposit account any Additional fees

## 8. Deposit Account Number:

08-2290

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

John Simpson  
Name of Person Signing

Signature

July 13, 1998

Date

Total number of pages comprising cover sheet: 3

Mail documents to be recorded and required cover sheet information to:

Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231

07/20/1998 DR GUYEN 00000309 09059251

01 FC:581

40.00 BP

## ASSIGNMENT

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in HIGH-MOLECULAR FLOCCULANT, METHOD FOR PRODUCING THE FLOCCULANT AND WATER-TREATMENT METHOD EMPLOYING THE FLOCCULANT for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Sony Corporation, a Japanese corporation with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: 09/059,251, Filing Date: 4/14/1998

This assignment executed on the dates indicated below.

YASUHITO INAGAKI

Name of first or sole inventor

KANAGAWA, JAPAN

Residence of first or sole inventor

Yasuhito Inagaki

Signature of first or sole inventor

July 3, 1998

Execution date of U.S. Patent Application

July 3, 1998

Date of this assignment

HARUO WATANABE

July 3, 1998

Name of second investor

Execution date of U.S. Patent Application

KANAGAWA, JAPAN

Residence of second investor

Haruo Watanabe

July 3, 1998

Signature of second investor

Date of this assignment

TSUTOMU NOGUCHI

July 3, 1998

Name of third investor

Execution date of U.S. Patent Application

KANAGAWA, JAPAN

Residence of third investor

Tsutomu Noguchi

July 3, 1998

Signature of third investor

Date of this assignment

Name of fourth investor

Execution date of U.S. Patent Application

Residence of fourth investor

Signature of fourth investor

Date of this assignment

Name of fifth investor

Execution date of U.S. Patent Application

Residence of fifth investor

Signature of fifth investor

Date of this assignment